

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE RECEIVED

In re application of:

Tzueng-yau Lin

Serial No: 09/851,471

Filed: May 7, 2001

For: DVD AUDIO ENCODER AND
 DECODER



Art Unit: 2651

JUL 27 2001

Examiner: Not Assigned Technology Center 2600

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to:

Commissioner for Patents
 Washington D.C. 20231, on

July 20, 2001

Date of Deposit

William H. Wright, Reg. No. 36,312

Name

Signature

7/20/01

Date

**TRANSMITTAL OF INFORMATION
 DISCLOSURE STATEMENT**

Commissioner for Patents
 Washington, D.C. 20231

Dear Sirs:

1. ☒ The information disclosure statement submitted herewith is being filed within three months of the filing date of the application other than a continued prosecution application, or within three months of the date of entry into the national stage of an international application, or before the mailing date of a first Office Action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination under §1.114, whichever event occurs last. 37 C.F.R. §1.97(b).
2. ☐ The information disclosure statement transmitted herewith is being filed *after* the period specified in §1.97(b), but *before* the mailing date of a final action under §1.113, or a notice of allowance under §1.311, or an action that otherwise closes prosecution in the application, whichever occurs first. A statement specified in §1.97(e) or a fee set forth in §1.17(p) is included. 37 C.F.R. §1.97(c).

§1.97(e) STATEMENT

I, the person signing below, state:

- ☐ that each item of information contained in the information disclosure statement was first cited in the attached communication from a foreign patent office in a counterpart foreign application and that the communication is dated not more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(1).

OR

- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(2).



PATENT
81842.0005

OR FEE

- ☐ Attached is a fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under §1.97(c). (\$180.00).

3. ☐ The information disclosure statement transmitted herewith is being filed *after* the period specified in §1.97(c), but before, or simultaneously with the payment of the issue fee. A statement specified in §1.97(e) and a fee set forth in §1.17(p) are included. 37 C.F.R. §1.97(d).

§1.97(e) STATEMENT

I, the person signing below, state:

- ☐ that each item of information contained in the information disclosure statement was first cited in the attached communication from a foreign patent office in a counterpart foreign application and that the communication is dated not more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(1).

OR

- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(2).

AND FEE

- ☐ Attached is a fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under §1.97(d). (\$180.00).
4. ☒ If it should be determined that for any reason either an insufficient fee or an excessive has been paid, please charge any insufficiency or credit any overpayment necessary to ensure consideration of the information disclosure statement for the above-identified application to Deposit Account No. 50-1314. **A copy of this petition is enclosed.**
5. ☒ A list of 10 reference(s) is in the enclosed Form PTO-1449.

NON-ENGLISH LANGUAGE REFERENCES

- ☐ Enclosed is a search report for a counterpart application. The search report Examiner has provided comments on the relevancy of any non-English language references cited in the search report.
- ☐ The specification incorporates comments on the relevancy of Non-English language references.

- ☐ Set forth below are comments provided by the applicant's home country counsel on the relevancy of non-English language references:

Date: July 20, 2001

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Respectfully submitted,
HOGAN & HARTSON L.L.P.

By: 

William H. Wright
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Attorney for Applicant(s)

FORM PTO-1449

Docket Number (Continuation)
81842.0005Application Number
09/851,471INFORMATION DISCLOSURE CITATION
IN AN APPLICATION

(Use several sheets if necessary)

Applicant

Tzueng-yau Lin

Filing Date
May 7, 2001Group Art Unit
2651

U.S. PATENT DOCUMENTS

EXAMINER'S INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,987,417	11-16-99	Heo, et al.			
	6,098,044	08-01-00	Huang			
	6,119,091	09-12-00	Huang, et al.			
	6,119,092	09-12-00	Patwardhan, et al.			
	6,160,953	12-12-00	Fuchigami, et al.			

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FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	Boothroyd Stuart, "ML TM P Meridian Lossless," Provisional Data, Meridian Lossless Packing, pp. 1-2, June 1998.
	JR Stuart, et al., "Lossless Compression for DVD-Audio," AES 9 th Regional Convention Tokyo, pp. 1-4.
	JR Stuart, et al., "MLP Lossless Compression," AES 9 th Regional Convention Tokyo, pp. 1-11.
	"DVD-Audio for High Quality Music," Discronics, pp. 1-6, April 16, 1999.
	Meridian MLP Encoder User Guide, pp. i-58, 1999-2000.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.